# **Threads Cont. Locks & Concurrency Benefits**

Computer Operating Systems, Fall 2025

Instructors: Joel Ramirez

Head TAs: Maya Huizar Akash Kaukuntla

Vedansh Goenka Joy Liu

TAs:

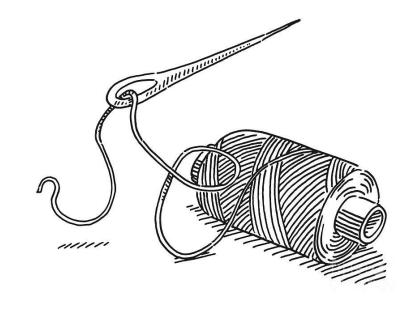
Eric Zou Joseph Dattilo Aniket Ghorpade Shriya Sane

Zihao Zhou Eric Lee Shruti Agarwal Yemisi Jones

Connor Cummings Shreya Mukunthan Alexander Mehta Raymond Feng

Bo Sun Steven Chang Rania Souissi Rashi Agrawal

Sana Manesh



## **Administrivia**

- Penn-shell is due Monday, October 6<sup>th</sup>
  - If you have any questions, please stop by office hours! We are here to help.
  - Latest time to turn it in is Friday, October 10<sup>th</sup> during fall break...don't do this to yourself.

- ❖ Midterm will be on Thursday, October 16 from 5:15PM 6:45PM
  - Locations: Towne 100 & Wu and Chen in Levine
  - Towne 100
    - Last time starts with: A M
  - Wu and Chen
    - Last time starts with: N Z
  - Practice exams and the official post will go out later today

## **Administrivia**

#### PennOS:

- Specifications and team sign-up to be posted Friday (day after exam)
- Done in groups of 4
- Partner signup due by end of day on Monday, 10/20
  - Those left unassigned will be randomly assigned the next morning (Tuesday the 21st)
- Lecture dedicated to PennOS in class on Tuesday the 21<sup>st</sup>. Highly recommend you go.

#### No Check-in 10/14!

■ Study for the exam...come to the exam review that Tuesday! ②

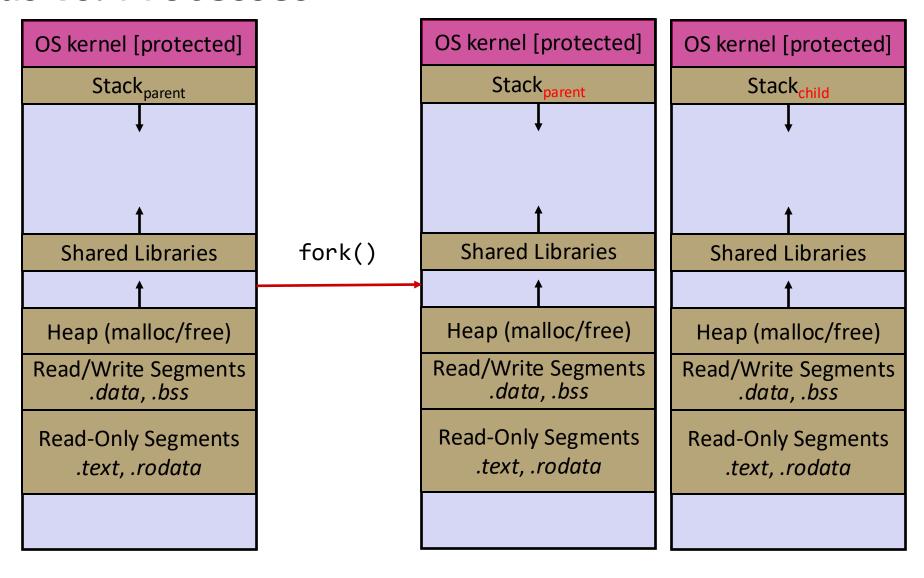
### **Lecture Outline**

- Threads Refresher
- Synchronization Mechanisms
- Data Race vs Race Condition
- Is a mutex needed? (Peterson's)
- It only gets worse

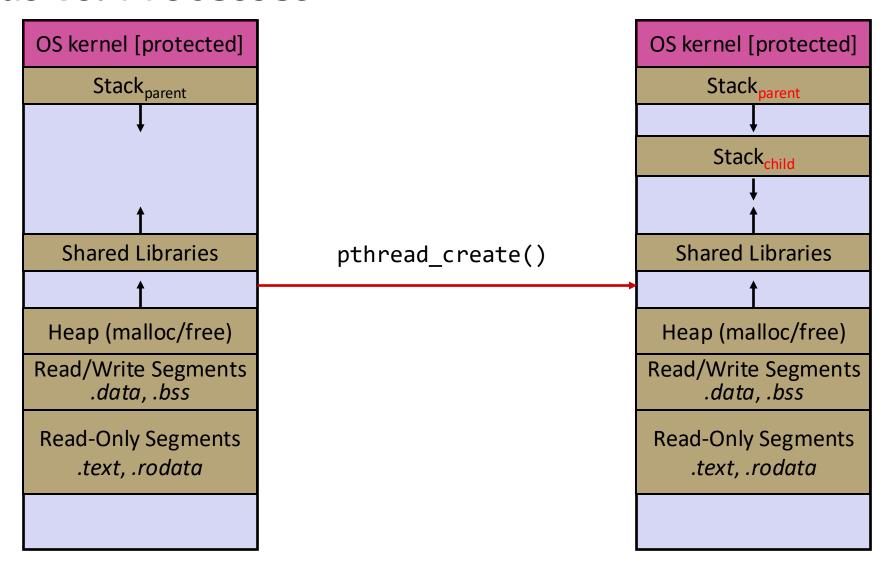
### Threads vs. Processes

- In most modern OS's:
  - A <u>Process</u> has a unique: address space, OS resources, & security attributes
  - A Thread has a unique: stack, stack pointer, program counter, & registers
  - Threads are the *unit of scheduling* and processes are their *containers*; every process has at least one thread running in it

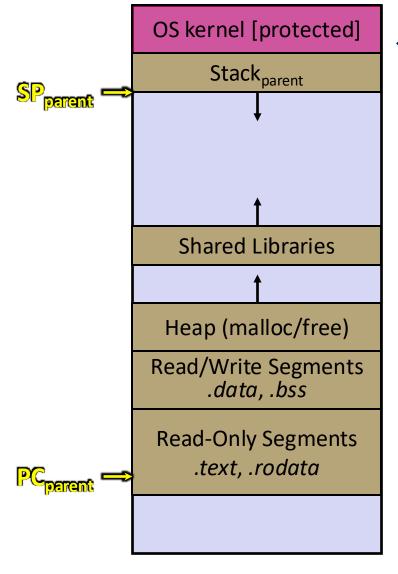
### Threads vs. Processes



## Threads vs. Processes

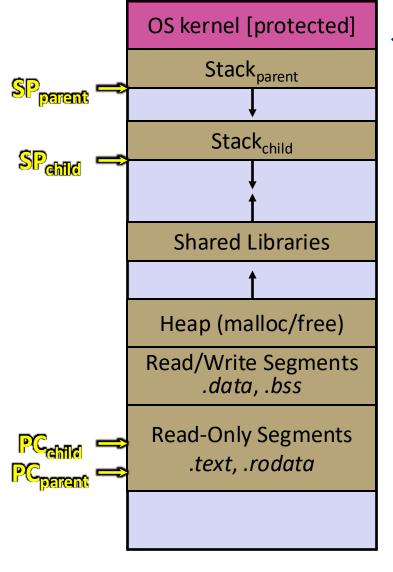


## **Single-Threaded Address Spaces**



- Before creating a thread
  - One thread of execution running in the address space
    - One PC, stack, SP
  - That main thread invokes a function to create a new thread
    - Typically pthread create()

# **Multi-threaded Address Spaces**



- After creating a thread
  - Two threads of execution running in the address space
    - Original thread (parent) and new thread (child)
    - New stack created for child thread
    - Child thread has its own values of the PC and SP
  - Both threads share the other segments (code, heap, globals)
    - They can cooperatively modify shared data

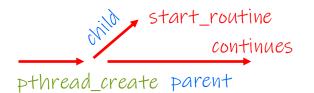
## **POSIX Threads (pthreads)**

- The POSIX APIs for dealing with threads
  - Declared in pthread.h
    - Not part of the C/C++ language
  - To enable support for multithreading, must include -pthread flag when compiling and linking with clang-15 command
    - clang-15 -g -Wall -pthread -o main main.c
  - Implemented in C
    - Must deal with C programming practices and style

## **Creating and Terminating Threads**

```
int pthread_create(
    pthread_t* thread,
    const pthread_attr_t* attr,
    void* (*start)(void*),
    void* arg);
```

- Creates a new thread with attributes \*attr
- Returns ② on success and an error number on error (can check against error constants)`
- The new thread runs start(arg)



This uses our previous conception of child vs parent metaphor, but really, they are not treated this way. There is no hierarchy of threads.

They are more like siblings.

## pthread\_create in reality

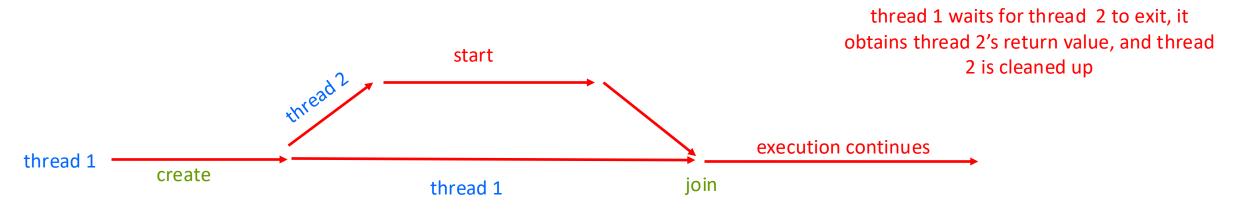
```
int pthread_create(
    pthread_t* thread,
    const pthread_attr_t* attr,
    void* (*start)(void*),
    void* arg);
```

- pthread\_t\* thread
  - Output parameter: gives us a thread identifier
  - Varies from OS to OS, in Linux it is an unsigned long in others, a struct.
- const pthread attr t\* attr
  - An struct detailing the attributes that the thread will take on. Null for default attributes.
- void\* (\*start)(void\*)
  - · Function that the newly created thread will commence executing from.
    - (i.e. void \*start(void \*arg))
- void\* arg: the argument that will be passed into start (you can do a lot with a ptr)

## We Created a Thread, Now What?

```
int pthread_join(pthread_t thread, void** retval);
```

- The calling thread waits for the thread specified by thread to terminate, and as the name says, joins the two executions stream into one (hence, "join")
- You can think of it as the thread equivalent of waitpid(), although it really isn't.
- The exit status of the terminated thread is placed in \*\*retval



No more, parent and child. JUST THREADS!

#### The Pain Point: Shared Resources

- POSIX.1: Some resources are shared between threads and processes
- All Threads Share the Following
  - PID, Parent PID, PGID, Controlling Terminal, File Descriptors, Interval timers (sleep, alarm...)
  - nice value (niceness applies per process, not per thread according to POSIX)
- The following attributes are distinct for each thread
  - Stack
  - thread ID (the pthread\_t data type)
  - signal mask (<u>pthread sigmask(3)</u>)
  - the <u>errno</u> variable

#### **Data Races**

- Two memory accesses form a data race if different threads access the same location, at least one is a write, and the accesses can co-occur.
  - The state of a program can vary depending on scheduling...
    - Which thread ran first?
    - When did a thread get interrupted?

## **Data Race Example**

- If your fridge has no milk, then go out and buy some more
  - What could go wrong?

```
if (!milk) {
  buy(milk);
}
```

If you live alone:





If you live with a roommate:







CIS 4480, 2025

L12: Synchronizing Threads

# Poll Everywhere

#### pause and think!

- Idea: leave a note!
  - Does this fix the problem
    - (with two threads, not roommates)

- A. Yes, problem fixed
- B. No, could end up with no milk
- C. No, could still buy multiple milk
- D. We're lost...

```
if (!note) {
  if (!milk) {
    leave(note);
    buy(milk);
    remove(note);
```



# Poll Everywhere

#### pause and think!

CIS 4480, 2025

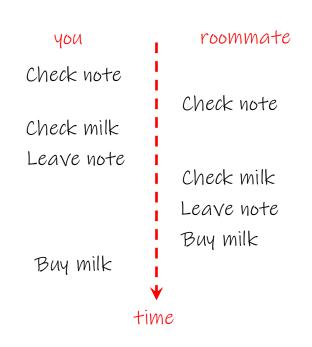
- Idea: leave a note!
  - Does this fix the problem
    - (with two threads, not roommates)

- A. Yes, problem fixed
- B. No, could end up with no milk
- C. No, could still buy multiple milk
  - D. We're lost...

We can be interrupted between checking note and leaving note ⊕

\*There are other possible scenarios that result in multiple milks

```
if (!note) {
   if (!milk) {
     leave(note);
     buy(milk);
     remove(note);
   }
}
```



Nothing has changed!

We are still reading and modifying a value; note.

### **Threads and Data Races**

- Data races might interfere in painful, non-obvious ways, depending on the specifics of the data structure
- Example: two threads try to read from and write to the same shared memory location
  - Could get "correct" answer
  - Could accidentally read old value
  - One thread's work could get "lost"
- Example: two threads try to push an item onto the head of the linked list at the same time
  - Could get "correct" answer
  - Could get different ordering of items
  - Could break the data structure! \$\mathbb{Z}

This should remind you of the signal interruption!

We were essentially interrupting one stream of execution with another!

### Remember this?

#### What does this print?

Always prints 0, the global counter is not shared across processes, so the parent's global never changes

```
#define NUM PROCESSES 50
#define LOOP_NUM 100
int sum_total = 0;
void loop_incr() {
 for (int i = 0; i < LOOP_NUM; i++) {
   sum_total++;
 printf("Process ID: %d with sum total of %d.\n", getpid(), sum_total);
int main(int argc, char** argv) {
 pid_t pids[NUM_PROCESSES]; // array of process ids
 // create processes to run loop_incr()
 for (int i = 0; i < NUM_PROCESSES; i++) {</pre>
   pids[i] = fork();
   if (pids[i] == 0) { // child
     loop_incr();
     exit(EXIT_SUCCESS);
 // wait for all child processes to finish
 for (int i = 0; i < NUM_PROCESSES; i++) {</pre>
   waitpid(pids[i], NULL, 0);
 printf("The ultimate sum total is %d\n", sum_total);
 return EXIT_SUCCESS;
```

### Remember this?

What does this print?

Usually 5000

```
#define NUM_THREADS 50
#define LOOP_NUM 100
int sum_total = 0;
void *loop_incr(void *arg) {
 for (int i = 0; i < LOOP_NUM; i++) {
   sum_total++;
 printf("Thread ID: %d with sum total of %d.\n", gettid(), sum_total);
  return NULL;
int main(int argc, char** argv) {
 pthread_t thds[NUM_THREADS]; // array of thread ids
 // create threads to run thread_main()
  for (int i = 0; i < NUM_THREADS; i++) {</pre>
   if (pthread_create(&thds[i], NULL, &loop_incr, NULL) != 0) {
      fprintf(stderr, "pthread_create failed\n");
 // wait for all non-main threads to finish
 for (int i = 0; i < NUM_THREADS; i++) {</pre>
   if (pthread_join(thds[i], NULL) != 0) {
      fprintf(stderr, "pthread_join failed\n");
 printf("The ultimate sum total is %d\n", sum_total);
  return EXIT_SUCCESS;
```

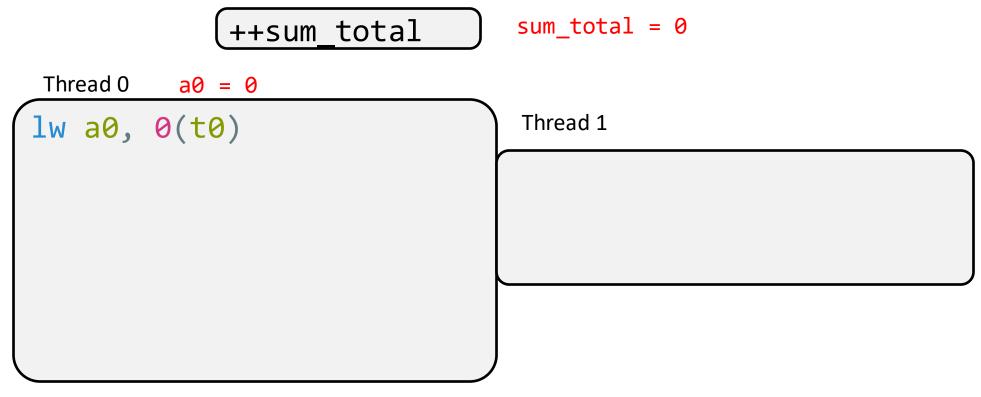
#### **Previous Demos:**

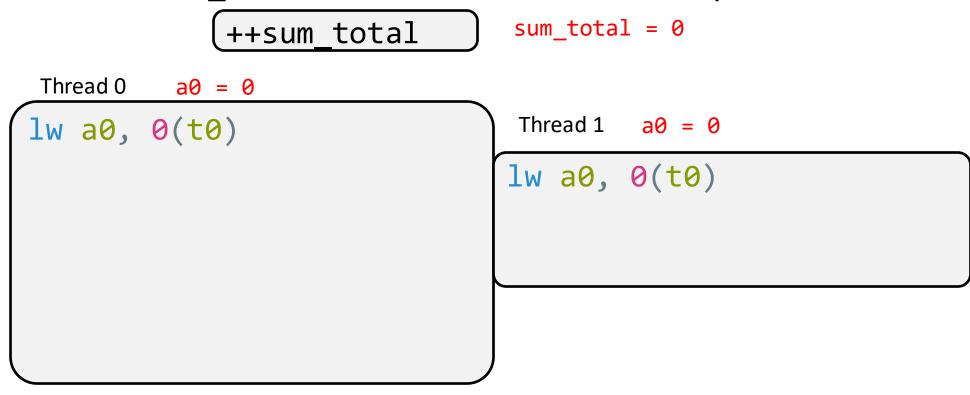
- \* See total.c and total\_processes.c
  - Threads share an address space, if one thread increments a global, it is seen by other threads
  - Processes have separate address spaces, incrementing a global in one process does not increment it for other processes

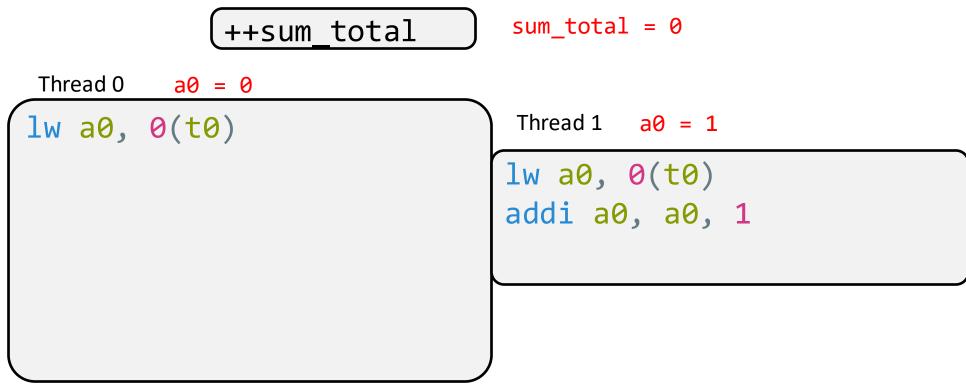
❖ NOTE: sharing data between threads is unsafe if done wrong (we are doing it wrong in this example); let's expand on that now ☺

What can be written in one line in c sum\_total++ is multiple assembly instructions in one. The increment looks something like this in assembly:

- What happens if we context switch to a different thread while executing these three instructions?
- Reminder: Each thread has its own registers to work with. Each thread would have its own a0 & t0
  - But, they would share the memory location stored within to







```
sum\_total = 1
             ++sum total
Thread 0
         a0 = 0
lw a0, 0(t0)
                                 Thread 1 a0 = 1
                                lw a0, 0(t0)
                                addi a0, a0, 1
                                sw a0, 0(t0)
```

```
sum\_total = 1
             ++sum total
Thread 0
        a0 = 1
                                Thread 1 a0 = 1
lw a0, 0(t0)
                               lw a0, 0(t0)
                               addi a0, a0, 1
                               sw a0, 0(t0)
addi a0, a0, 1
```

Consider that sum\_total starts at 0 and two threads try to execute

```
sum\_total = 1
             ++sum total
Thread 0
        a0 = 1
lw a0, 0(t0)
                                Thread 1 a0 = 1
                               lw a0, 0(t0)
                               addi a0, a0, 1
                               sw a0, 0(t0)
addi a0, a0, 1
sw a0, 0(t0)
```

With this example, we could get 1 as an output instead of 2, even though we executed additwice.

# Poll Everywhere

#### pause and think

- What is the minimum value that could be printed by main thread?
  - Single Core
  - Concurrent Threading Only
- Important: all three exec on each loop

```
lw a0, 0(t0)
addi a0, a0, 1
sw a0, 0(t0)
```

Joel said 100 in lecture on Thursday, but this only applies in one specific scenario.

```
#define NUM_THREADS 50
#define LOOP_NUM 100
int sum total = 0;
void *loop incr(void *arg) {
 for (int i = 0; i < LOOP_NUM; i++) {
    sum_total++;
 printf("Thread ID: %d with sum total of %d.\n", gettid(), sum_total);
  return NULL;
int main(int argc, char** argv) {
  pthread_t thds[NUM_THREADS]; // array of thread ids
 // create threads to run thread_main()
 for (int i = 0; i < NUM_THREADS; i++) {</pre>
   if (pthread_create(&thds[i], NULL, &loop_incr, NULL) != 0) {
     fprintf(stderr, "pthread_create failed\n");
  // wait for all non-main threads to finish
  for (int i = 0; i < NUM_THREADS; i++) {
    if (pthread_join(thds[i], NULL) != 0) {
     fprintf(stderr, "pthread_join failed\n");
 printf("The ultimate sum total is %d\n", sum_total);
  return EXIT_SUCCESS;
```

CIS 4480, 2025

# Poll Everywhere

- Most common mistake: 100.
- One of the scenarios:

#### Thread 1

```
lw a0, 0(t0) //loads 0

addi a0, a0, 1
sw a0, 0(t0) //stores 1
// 99 more times
```

#### Threads 2 - 50

```
lw a0, 0(t0)
addi a0, a0, 1
sw a0, 0(t0)
```

all finish before thread 1 stores for first time

# Poll Everywhere

#### pause and think

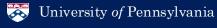
- What is the minimum value that could be printed?
  - Single Core
  - Concurrent Threading Only Thread 1

```
lw a0, 0(t0) //loads 0

addi a0, a0, 1
sw a0, 0(t0) //stores 1

//finishes executing
```

```
Thread 2
                               Threads 3 - 50
                           lw a0, 0(t0)
//does loop 99 X
                            addi a0, a0, 1
                            sw a0, 0(t0)
                             finish before thread 1
                              stores for first time
lw a0, 0(t0)
                             loads 1!
addi a0, a0, 1
sw a0, 0(t0) ←
                              stores 2!
                                               32
       finish....
```





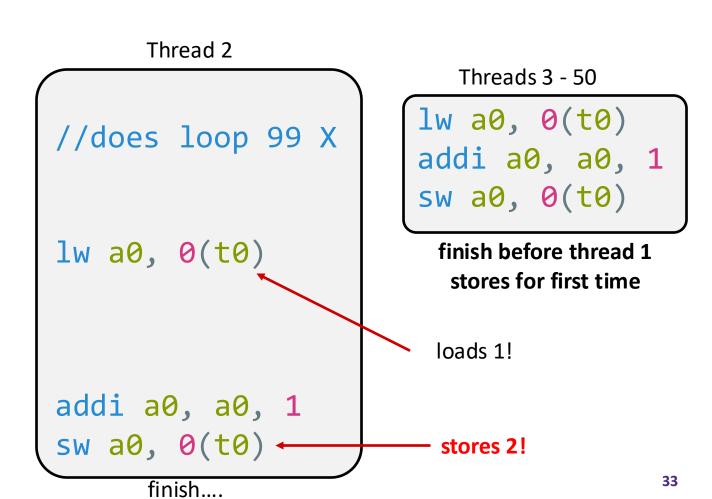
#### pause and think

True Minimum Value: True for any multithreaded program with any # of increments.

```
Thread 1
lw a0, 0(t0) //loads 0
addi a0, a0, 1
sw a0, 0(t0) //stores 1
//finishes executing
```

If we need to repeatedly load and store to a global:

The minimum is 2.





# Things to consider:

- When are values loaded? Every time? Before the loop? What if there are optimizations?
- With optimizations, the minimum is no longer 2. It is 100.

```
for 100 times:
    lw a0, 0(t0) //loads 0
    addi a0, a0, 1
    sw a0, 0(t0) //stores 1

-O1

lw a0, 0(t0) //loads global
    addi a0, a0, 100
    sw a0, 0(t0) //stores global + 100
```

### **Lecture Outline**

- Threads Refresher
- Synchronization Mechanisms
- Data Race vs Race Condition
- Is a mutex needed? (Peterson's)
- It only gets worse

## **Synchronization**

- Synchronization is the act of preventing two (or more) concurrently running threads from interfering with each other when operating on shared data
  - Need some mechanism to coordinate the threads
    - "Let me go first, then you can go"
  - Many different coordination mechanisms have been invented
- Goals of synchronization:
  - Liveness ability to execute in a timely manner (informally, "something good eventually happens")
  - Safety avoid unintended interactions with shared data structures (informally, "nothing bad happens")

## **Lock Synchronization**

- Use a "Lock" to grant access to a critical section so that only one thread can operate there at a time
  - Executed in an uninterruptible (i.e. atomic) manner
- Lock Acquire
  - "Wait" until the lock is free, then take it

- Lock Release
  - Release the lock
  - If other threads are waiting, wake exactly one up to pass lock to

#### Pseudocode:

```
// non-critical code
lock.acquire(); block
if locked
// critical section
lock.release();
// non-critical code
```

### **Lock API**

- Locks are constructs that are provided by the operating system to help ensure synchronization
  - There are many types of locks (e.g. Mutex Lock, Spin Lock...)
- Only one thread can acquire a lock at a time,
   No thread can acquire that lock until it has been released

## Milk Example – What is the Critical Section?

- What if we use a lock on the refrigerator?
  - Probably overkill what if roommate wanted to get eggs?
- For performance reasons, only put what is necessary in the critical section
  - Lock all steps that must run uninterrupted; only lock the milk.
  - (i.e. must run as an atomic unit)

```
fridge.lock()
if (!milk) {
  buy milk
}
fridge.unlock()
```



```
milk_lock.lock()
if (!milk) {
  buy milk
}
milk_lock.unlock()
```

### pthread mutex locks

- initializes the mutex object pointed to by mutex according to the mutex attributes specified in mutexattr.
  - You could even make locks shareable across processes...

```
int pthread_mutex_lock(pthread_mutex_t* mutex);
```

- If the mutex is currently unlocked, it becomes locked and owned by the calling thread.
- If the mutex is already locked by another thread, **pthread\_mutex\_lock**() **suspends** the calling thread until the mutex is unlocked.

```
int pthread_mutex_unlock(pthread_mutex_t* mutex);
```

 unlocks the given mutex. The mutex is assumed to be locked and owned by the calling thread on entrance to pthread\_mutex\_unlock(). Linux allows any thread to unlock a mutex, even if it isn't its owner. But, this isn't true across OS's.

```
int pthread_mutex_destroy(pthread_mutex_t* mutex);
```

Check the man page..

### pthread Mutex Examples

- \* See total.c
  - Data race between threads
- \* See total\_locking.c
  - Adding a mutex fixes our data race
- \* How does total\_locking compare to sequential code and to total?
  - Likely slower than both—only 1 thread can increment at a time, and must deal with checking the lock and switching between threads
  - One possible fix: each thread increments a local variable and then adds its value (once!) to the shared variable at the end
    - See total\_locking\_better.c
- How about with optimizations?
  - Let's see total\_locking\_opt.c with compiler optimizations.

### **Lecture Outline**

- Threads Refresher
- Synchronization Mechanisms
- Data Race vs Race Condition
- Is a mutex needed? (Peterson's)
- It only gets worse

```
pthread mutex t lock;
bool print ok = false;
void* thrd fn1(void* arg) {
  pthread_mutex_lock(&lock);
  print ok = true;
  pthread_mutex_unlock(&lock);
  return NULL;
void* thrd fn2(void* arg) {
  pthread mutex lock(&lock);
  if (print ok) {
    printf("print ok is true\n");
  } else {
    printf("print ok is false\n");
  pthread mutex unlock(&lock);
  return NULL;
int main() {
  // assume main sets ups the threads & locks, etc.
```

- Does this code have a data race?
  - Can this program enter an "invalid" (unexpected or error) state from having concurrent memory accesses?
- Follow up: Does this code feel good?

#### **Race Condition vs Data Race**

- Data-Race: when there are concurrent accesses to a shared resource, with at least one write, that can cause the shared resource to enter an invalid or "unexpected" state.
- Race-Condition: Where the program has different behavior depending on the ordering of concurrent threads. This can happen even if all accesses to shared resources are "atomic" or "locked"
  - THINK SCHEDULER! SCHEDULER SCHEDULER SCHEDULER!

- The previous example has no data-race, but it does have a race condition
- Data-races are a subset of race-conditions

#### **Thread Communication**

- Sometimes threads may need to communicate with each other to know when they can perform operations
- Example: Producer and consumer threads
  - One thread creates tasks/data
  - One thread consumes the produced tasks/data to perform some operation
  - The consumer thread can only produce things once the creator has created them
- Need to make sure this communication has no data race or race condition

### **Lecture Outline**

- Threads Refresher
- Synchronization Mechanisms
- Data Race vs Race Condition
- Is a mutex needed? (Peterson's)
- It only gets worse

#### Pause and think

# Poll Everywhere

- Lets try a more complicated software approach..
- ❖ We create two threads running thread\_code, one with me = ∅, other thread has me = 1
- Each thread tries to increment sum total. Does this work?

```
int sum_total = 0;
atomic bool flag[2] = {false, false};
atomic int turn = 0
void thread_code(void *arg) {
  int me = (int)arg;

  flag[me] = true;
  turn = 1 - me;
  while((flag[1-me] == true) && (turn != me)) { }
  ++sum_total;
  flag[me] = false;
}
```

Note: atomic <type> is a real thing just not as
I've written it here.

### Peterson's Algorithm

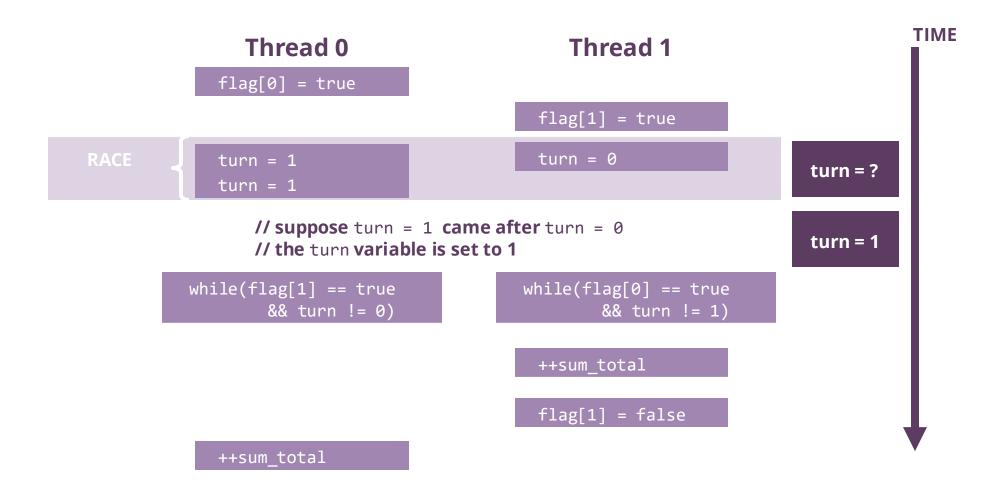
- What we just did was Peterson's algorithm
- Why does it work? (using an analogy)
  - Each thread first declares that they want to enter the critical section by setting their flag
  - Each thread then states (once) that the other should "go first".
    - This is done by setting the turn variable to 1 me
    - One of these assignments to the turn variable will happen last, that is the one that decides who
      goes first
  - One of the thread goes first (decided by the value of turn) and accesses the critical section,
     before saying it is done (by changing their flag to false)

### Peterson's Algorithm

- What we just did was Peterson's algorithm
- Why does it work?
  - Case1:
     If P0 enters critical section, flag[0] = true, turn = 0. It enters the critical section successfully.
  - Case2:
    If P0 and P1 enter critical section, flag[0] and flag[1] = true

Race condition on turn. Suppose P0 sets turn = 0 first. Final value is turn = 1. P0 will get to run first.

### **Explanation**



### Peterson's Assumptions

- Some operations are atomic:
  - Reading from the flag and turn variables cannot be interrupted
  - Writing to the flag and turn variables cannot be interrupted
  - E.g setting turn = 1 or 0 will set turn to 0 or 1, you can be interrupted before or after, but not "during" when turn may have some intermediate value that is not 0 or 1
- That the instructions are executed in the specific order laid out in the code

## **Atomicity**

Atomicity: An operation or set of operations on some data are atomic if the operation(s) are indivisible, that no other operation(s) on that same data can interrupt/interfere.

- Aside on terminology:
  - Often interchangeable with the term "Linearizability"
  - Atomic has a different (but similar-ish) meaning in the context of data bases and ACID.

#### **Lecture Outline**

- Threads Refresher
- Synchronization Mechanisms
- Data Race vs Race Condition
- Is a mutex needed? (Peterson's)
- \* It only gets worse



Pause and think

Can the assert fail here?

```
bool flag = false;
int x = 0;
void* thrd_fn1(void* arg) {
  x = 5;
  flag = true;
  return NULL;
void* thrd_fn2(void* arg) {
  if (flag) {
    assert(x == 5); // crashes if x does not equal 5
  return NULL;
int main() {
  // assume main creates two threads, one to run thrd fn1 and another for thrd fn2
```

### **Instruction & Memory Ordering**

Do we know that x is set before g is set?

```
bool g = false;
int x = 0

void some_func(int arg) {
   x = 5;
   g = true;
}
```

### **Instruction & Memory Ordering**

Do we know that x is set before g is set?

```
bool g = false;
int x = 0

void some_func(int arg) {
   x = 5;
   g = true;
}
```



The compiler may generate instructions that sets g first and then t The Processor may execute these out of order or at the same time

Why? Optimizations on program performance

## **Aside: Instruction & Memory Ordering**

- The compiler may generate instructions with different ordering if it does not appear that it will affect the semantics of the function
  - Since g = true; is not affected by X = 5; then either one could execute first.

- The Processor may also execute these in a different order than what the compiler says
- Why? Optimizations on program performance
  - If you want to know more, look into "Out-of-Order Execution" and "Memory Order"

### **Aside: Memory Barriers**

How do we fix this?

- We can emit special instructions to the CPU and/or compiler to create a "memory barrier"
  - "all memory accesses before the barrier are guaranteed to happen before the memory accesses that come after the barrier"
  - A way to enforce an order in which memory accesses are ordered by the compiler and the CPU

- The further you go the discrepancy becomes more nuanced.
  - Do we want to force mem access to occur in the order of the written program?
  - Do we want to force that all memory access/modifications to complete before the next instruction executes?

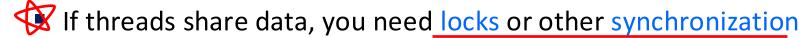
### **Lecture Outline**

- Threads Refresher
- Synchronization Mechanisms
- Data Race vs Race Condition
- Is a mutex needed? (Peterson's)
- It only gets worse

## Why Threads?

- Advantages:
  - You (mostly) write sequential-looking code
  - Threads can run in parallel if you have multiple CPUs/cores

#### Disadvantages:



- Very bug-prone and difficult to debug
- Threads can introduce overhead
  - Lock contention, context switch overhead, and other issues
- Need language support for threads

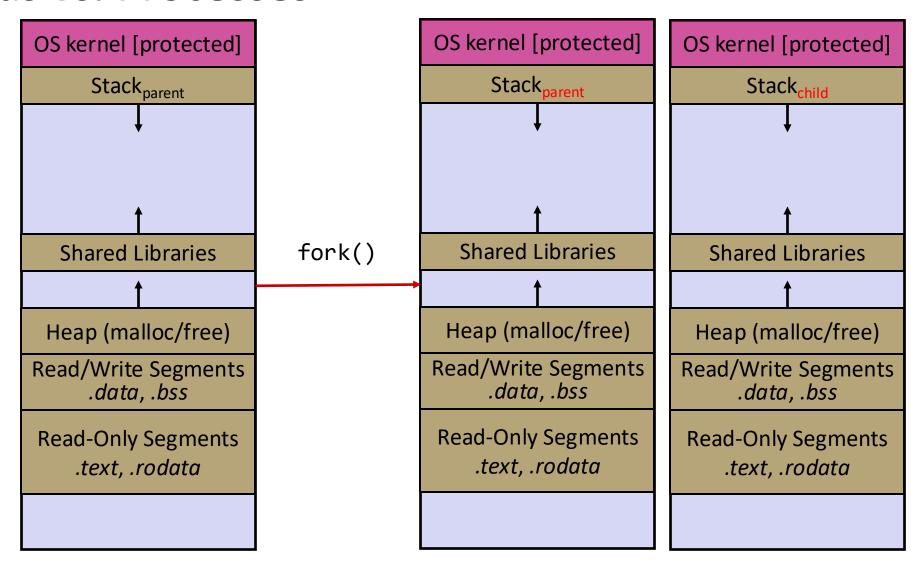
### That's all!

See you next time!

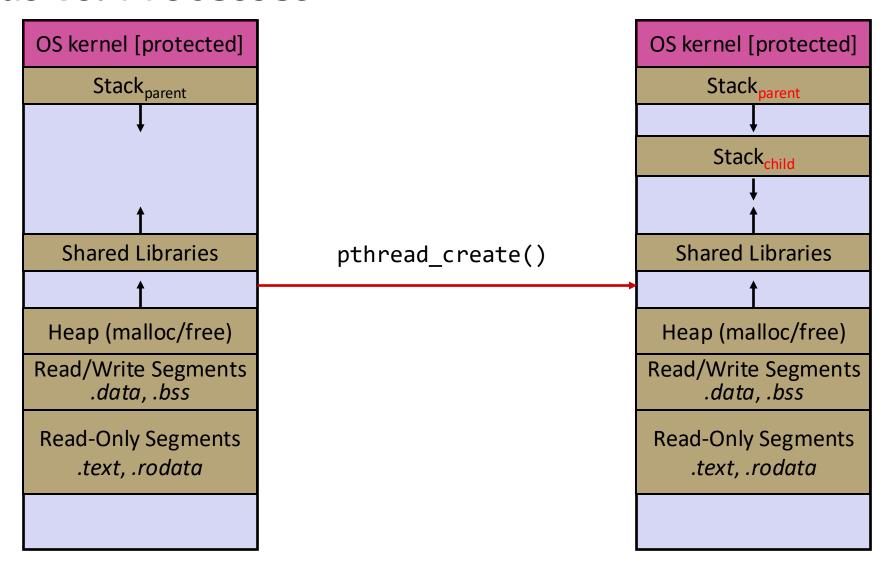
#### Threads vs. Processes

- In most modern OS's:
  - A <u>Process</u> has a unique: address space, OS resources,
     & security attributes
  - A <u>Thread</u> has a unique: stack, stack pointer, program counter,
     & registers
  - Threads are the unit of scheduling and processes are their containers;
     every process has at least one thread running in it

### Threads vs. Processes



### Threads vs. Processes



### **Alternative: Processes**

What if we forked processes instead of threads?

#### Advantages:

- No shared memory between processes
- No need for language support; OS provides "fork"
- Processes are isolated. If one crashes, other processes keep going

#### Disadvantages:

- More overhead than threads during creation and context switching (Context switching == switching between threads/processes)
- Cannot easily share memory between processes typically communicate through the file system